



Sector #

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/714,477
Filing Date	November 16, 2000
First Named Inventor	Sun-Chueh Kao
Group Art Unit	1754
Examiner Name	Unassigned
Total Number of Pages in This Submission	5
Attorney Docket Number	2000U032.US

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Preliminary Amendment / Response	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> <b>Non-Fee Amendment</b>	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<u>Return Postcard</u>
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Documents)		
<input checked="" type="checkbox"/> Response to Missing Part/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts		

REMARKS

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual name	Jaimes Sher	Registration No.	34,726
Signature			
Date	February 21, 2001		

## CERTIFICATE OF MAILING

I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: **February 21, 2001**

Typed or printed name	Tammy L. Hodges		
Signature		Date	February 21, 2001

# FEE TRANSMITTAL

Note: Effective November 10, 1998, Patent fees are subject to annual revision.

State if Known

Application Number 14,477  
 Filing Date November 16, 2000  
 Inventors Sun-Chueh Kao and Parul A. Khokhani  
 Group Art Unit 1754  
 Examiner Name Unassigned  
 Attorney Docket Number 2000U032.US

Total Amount of Payment (\$130.00)

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

Deposit Account Number: 50-0589

Deposit Account Name: Univation Technologies, LLC

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

## FEE CALCULATION

### 1. FILING FEE

Large Entity Fee Code	Fee Description	Fee \$	Fee Paid
101 760	Utility filing fee		
106 310	Design filing fee		
107 480	Plant filing fee		
108 760	Reissue filing fee		
114 150	Provisional filing fee		
SUBTOTAL (1)			

### 2. CLAIMS

Total Claims  - 20 =  x 18 =

Independent Claims  - 3 =  x 78 =

Multiple Dependent Claims  x 260.00 =

### Large Entity

Fee Code	Fee\$	Fee Description
103 18		Claims in excess of 20
102 78		Independent claims in excess of 3
104 260		Multiple dependent claim
109 78		Reissue independent claims over original patent
110 18		Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee \$	Fee Description	FEES PAID
105 130		Surcharge - late filing fee or oath	130.00
127 50		Surcharge - late provisional filing or cover sheet.	
139 130		Non-English specification	
147 2,520		For filing a request for reexamination	
112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840*		Requesting publication of SIR after Examiner action	
115 110		Extension for reply within first month	
116 380		Extension for reply within second month	
117 870		Extension for reply within third month	
118 1,360		Extension for reply within fourth month	
128 1,850		Extension for reply within fifth month	
119 300		Notice of Appeal	
120 300		Filing a brief in support of an appeal	
121 260		Request for oral hearing	
138 1,510		Petition to institute a public use proceeding	
140 110		Petition to revive - unavoidable	
141 1,210		Petition to revive - unintentional	
142 1,210		Utility issue fee (or reissue)	
143 430		Design issue fee	
144 580		Plant issue fee	
122 130		Petition to the Commissioner	
123 50		Petitions related to provisional applications	
126 240		Submission of information Disclosure Stmt.	
581 40		Recording each patent assignment per property (times number of properties)	
146 760		Filing a submission after final rejection (37 CFR 1.129(a))	
149 760		For each additional invention to be examiner (37 CFR 1.129(b))	
Other fee (specify)			
* Reduced by Basic Filing Fee Paid			
SUBTOTAL (3)			130.00

Typed or Printed Name

Jaimes Sher

Reg. No.

34,726

Signature

Date

February 21, 2001

Deposit Account User ID



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/714,477	11/16/2000	Sun-Chueh Kao	2000U032.US

Univation Technologies LLC  
5555 San Felipe  
Suite 1950  
Houston, TX 77056



## FORMALITIES LETTER



\*OC000000005769055\*

Date Mailed: 02/15/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09714477

00000067

500589

02/23/2001

BHABTEW

01 FC:105

130.00 CH